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Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR § 1.53(h))

Attorney Docket No. 1383.013002/EKS/AJK

First Inventor CHAMBON et al.

Title Transcriptional Intermediary Factor-2

Express Mail Label No.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. Applicant claims small entity status.
See 37 CFR 1.27.
3. Specification [Total Pages 93]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings *(if filed)*
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. Drawing(s) (35 U.S.C. 113) [Total Sheets 21]
5. Oath or Declaration [Total Pages 3]
 - a. Newly executed (original or copy)
 - b. Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
 - i. **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR §§ 1.63(d)(2) and 1.33(b).
6. Application Data Sheet. See 37 CFR 1.76.
7. CD-ROM or CD-R in duplicate, large table or Computer Program *(Appendix)*
8. Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all necessary)*
 - a. Computer Readable Form (CRF) [Request to Open New Disk File]
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & document(s))
10. 37 CFR 3.73(b) Statement Power of Attorney *(when there is an assignee)*
11. English Translation Document *(if applicable)*
12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations
13. Preliminary Amendment
14. Return Receipt Postcard (MPEP 503) *(Should be specifically itemized)*
15. Certified Copy of Priority Document(s) *(if foreign priority is claimed)*
16. Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. Other: Authorization under 37 C.F.R. § 1.136(a)(3)
18. Other: The name of the assignee is: Bristol-Myers Squibb Co.

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-Part (CIP)

Prior application information: Examiner Pak, M.

of prior application No: 08/891,640

Group/Art Unit: 1646

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label

Customer No. 26111

(Insert Customer No. or Attach bar code label here)

or Correspondence address below

| | | | |
|-------------------|--|----------------|-----------------------------------|
| NAME | STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C. PATENT TRADEMARK OFFICE | | |
| | Attorneys at Law | | |
| ADDRESS | | | |
| CITY | STATE | ZIP CODE | |
| COUNTRY | TELEPHONE | (202) 371-2600 | FAX |
| NAME (Print/Type) | Andrea Jo Kamage | | Registration No. (Attorney/Agent) |
| SIGNATURE | <i>Andrea Jo Kamage</i> | | Date <i>April 26, 2001</i> |

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$710.00)

Complete if Known

| | |
|----------------------|----------------------|
| Application Number | To be assigned |
| Filing Date | Herewith |
| First Named Inventor | CHAMBON et al. |
| Examiner Name | To be assigned |
| Group Art Unit | To be assigned |
| Attorney Docket No. | 1383.0130002/EKS/AJK |

| METHOD OF PAYMENT (check one) | | FEE CALCULATION (continued) | | | | | |
|--|---|-----------------------------|----------|---|---|--|---|
| 1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to: | | 3. ADDITIONAL FEES | | | | | |
| Deposit Account Number | 19-0036 | Large Entity Fee Code (\$) | Fee (\$) | Small Entity Fee Code (\$) | Fee (\$) | Fee Description | |
| Deposit Account Name | Sterne, Kessler, Goldstein & Fox P.L.L.C. | 105 | 130 | 205 | 65 | Surcharge - late filing fee or oath | |
| <input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17 | | 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| <input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27 | | 139 | 130 | 139 | 130 | Non-English specification | |
| <input checked="" type="checkbox"/> Payment Enclosed: | | 147 | 2,520 | 147 | 2,520 | For filing a request for ex parte reexamination | |
| <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input checked="" type="checkbox"/> Other* | | 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| *Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036. | | 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| FEE CALCULATION | | 115 | 110 | 215 | 55 | Extension for reply within first month | |
| BASIC FILING FEE | | 116 | 390 | 216 | 195 | Extension for reply within second month | |
| Large Entity Fee Code (\$) | Fee (\$) | Small Entity Fee Code (\$) | Fee (\$) | Fee Description | | | |
| 101 | 710 | 201 | 355 | Utility filing fee | | | |
| 106 | 320 | 206 | 160 | Design filing fee | | | |
| 107 | 490 | 207 | 245 | Plant filing fee | | | |
| 108 | 710 | 208 | 355 | Reissue filing fee | | | |
| 113 | 150 | 214 | 75 | Provisional filing fee | | | |
| SUBTOTAL (1) (\$ 710.00) | | 117 | 890 | 217 | 445 | Extension for reply within third month | |
| | | 118 | 1,390 | 218 | 695 | Extension for reply within fourth month | |
| | | 128 | 1,890 | 228 | 945 | Extension for reply within fifth month | |
| | | 119 | 310 | 219 | 155 | Notice of Appeal | |
| | | 120 | 310 | 220 | 155 | Filing a brief in support of an appeal | |
| | | 121 | 270 | 221 | 135 | Request for oral hearing | |
| | | 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | |
| | | 140 | 110 | 240 | 55 | Petition to revive - unavoidable | |
| | | 141 | 1,240 | 241 | 620 | Petition to revive - unintentional | |
| | | 142 | 1,240 | 242 | 620 | Utility issue fee (or reissue) | |
| | | 143 | 440 | 243 | 220 | Design issue fee | |
| | | 144 | 600 | 244 | 300 | Plant issue fee | |
| | | 122 | 130 | 122 | 130 | Petitions to the Commissioner | |
| 2. EXTRA CLAIM FEES | | 123 | 130 | 123 | 130 | Petitions related to provisional applications | |
| Extra Fee from below | | 126 | 180 | 126 | 180 | Submission of Information Disclosure Stmt | |
| Total Claims | 10 | - 20** = 0 | X 0 | = 0.00 | 581 | 40 | 481 40 Recording each patent assignment per property (times number of properties) |
| Indep. Claims | 3 | - 3** = 0 | X 0 | = 0.00 | 146 | 710 | 246 355 Filing a submission after final rejection (37 CFR 1.129(a)) |
| Multiple Dependent | | 0.00 | | = 0.00 | 149 | 710 | 249 355 For each additional invention to be examined (37 CFR 1.129(b)) |
| Large Entity Fee Code (\$) | Fee (\$) | Small Entity Fee Code (\$) | Fee (\$) | Fee Description | | | |
| 103 | 18 | 203 | 9 | Claims in excess of 20 | | | |
| 102 | 80 | 202 | 40 | Independent claims in excess of 3 | | | |
| 104 | 270 | 204 | 135 | Multiple dependent claim | | | |
| 108 | 80 | 209 | 40 | **Reissue independent claims over original patent | | | |
| 110 | 18 | 210 | 9 | **Reissue claims in excess of 20 and over original patent | | | |
| SUBTOTAL (2) (\$ 0.00) | | 179 | 710 | 279 | 355 Request for Continued Examination (RCE) | | |
| Other fee (specify) : | | | | | | | |
| Other fee (specify) : | | | | | | | |
| *Reduced by Basic Filing Fee Paid | | | | | | | |
| SUBTOTAL (3) (\$ 0.00) | | | | | | | |

** or number previously paid, if greater; For Reissues, see above

Complete (if applicable)

| | | | | | |
|-------------------|------------------|--------------------------------------|--------|----------------|--------------|
| Name (Print/Type) | Andrea Jo Kamage | Registration No. (Attorney/Agent) | 43,703 | Telephone | 202-371-2600 |
| Signature | Andrea Jo Kamage | | Date | April 26, 2001 | |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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015-2-divapp-fctransmstr-011201

04/26/01
JC860 U.S. PTO

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

ATTORNEYS AT LAW

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*BAR OTHER THAN D.C.
**REGISTERED PATENT AGENT
***SENIOR COUNSEL

April 26, 2001

Commissioner for Patents
Washington, D.C. 20231

Box Patent Application

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)
(Divisional of U.S. Appl. No. 08/891,640; Filed: July 11, 1997)
Appl. No. *To be assigned*; Filed: *Herewith*
For: **Transcriptional Intermediary Factor-2**

Inventors: CHAMBON *et al.*

Our Ref: 1383.0130002/EKS/AJK

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. PTO Utility Patent Application Transmittal (Form PTO/SB/05);
2. U.S. Utility Patent Application entitled:

Transcriptional Intermediary Factor-2

and naming as inventors:

Pierre CHAMBON
Hinrich GRONEMEYER
Johannes VOEGEL
Yves LUTZ

Commissioner for Patents
April 26, 2001
Page 2

the application consisting of:

- a. A specification containing:
 - i. 93 pages of description prior to the claims (including a sequence listing on pages 73 to 93);
 - ii. 5 pages of claims (20 claims);
 - iii. a one (1) page abstract;
- b. 46 sheets of drawings: (Figures 1A-12-D);
- c. A copy of the executed Declaration, as originally filed in U.S. Appl. No. 08/891,640; and
- d. an Application Data Sheet (37 C.F.R. § 1.76);

3. PTO Fee Transmittal Form PTO/SB/17 (*in duplicate*);

4. Authorization to Treat a Reply As Incorporating An Extension of Time Under 37 C.F.R. § 1.136(a)(3) (*in duplicate*);

5. A Preliminary Amendment;

6. Request to Open New Disk File;

7. Two (2) return postcards; and

8. Our check No. 31020 for \$710.00 to cover:

\$710.00 Filing fee for patent application.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

Commissioner for Patents
April 26, 2001
Page 3

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Andrea Jo Kamage

Andrea Jo Kamage
Agent for Applicants
Registration No. 43,703

EKS/AJK/jk
Enclosures

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:
CHAMBON *et al.*
Appl. No. To be assigned
Filed: Herewith
For: **Transcriptional Intermediary Factor-2**

Confirmation No.
Art Unit: To be assigned
Examiner: To be assigned
Atty. Docket: 1383.0130002

Request to Open New Disk File

Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicants request that a new disk file be opened for the above-cited application.

The Sequence Listing disk submitted on **July 11, 1997** in the parent, Application No. **08/891,640**, filed **July 11, 1997** contains the identical sequence information as that in the present application. Applicants also submit herewith a paper copy of the sequence listing for the present application. The paper copy of the sequence listing and the computer readable copy are the same and do not introduce new matter.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Andrea Jo Kamage

Andrea Jo Kamage
Agent for Applicants
Registration No. 43,703

Date: April 26, 2001

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